

## **CHECKLIST FOR STATE LICENSURE & NOTICE FILINGS**

Use this checklist in conjunction with the enclosed Arizona Investment Adviser Instruction Sheet, which provides detailed instructions.

### **STATE LICENSURE OF INVESTMENT ADVISERS**

- \_\_\_1. Become entitled to file on the IARD if you have not already filed in one or more states.
- \_\_\_2. Submission of Form ADV (Part 1A and Part 1B) filed electronically through the IARD system. [See A.R.S. § 44-3153 and R14-6-212] If you have already filed in one or more states, please submit an "Other than Annual Amendment" filing and check the Arizona box on Item 1, State Registration, on Part 1B of the Form ADV.
- \_\_\_3. Part II of the Form ADV filed electronically through the IARD system. [See A.R.S. § 44-3153 and R14-6-212] (As of April 23, 2007, the IARD system allows electronic filing of ADV Part II.)
- \_\_\_4. Copy of the firm's disclosure brochure, if applicable. [See A.R.S. § 44-3154, R14-6-205 and R14-6-212]
- \_\_\_5. Audited balance sheet, if required. [See A.R.S. § 44-3153, R14-6-206, and R14-6-212]
- \_\_\_6. Fingerprint card, if applicable. [See A.R.S. § 44-3153 and A.R.S. § 44-3156]
- \_\_\_7. If the firm intends to have an office located in Arizona, please provide a list of all Arizona offices (include DBA, if applicable). The list should include the address, phone number, and name of the contact person. [See A.R.S. § 44-3153 and R14-6-212]
- \_\_\_8. Notarized affidavit signed by a principal stating any investment advisory services that have been provided to Arizona residents during the period of September 1, 1994, through date of application and any exemption relied upon. [See A.R.S. § 44-3153, R14-6-212, and enclosed affidavit form]
- \_\_\_9. Proof of successful completion of Series 65, Series 66 exam and other exam, or designation as required (for sole proprietor). [See A.R.S. § 44-3153 and R14-6-204]

### **NOTICE FILING OF INVESTMENT ADVISERS**

- \_\_\_1. If a new notice filer in Arizona and have not filed as a notice filer in any other state, please file Part 1A and Part 1B of the Form ADV electronically through the IARD and check the Arizona box on Item 2, SEC Registration, on Part 1A of the Form ADV. [See A.R.S. § 44-3153 and R14-6-212]
- \_\_\_2. If a new notice filer in Arizona and have filed as a notice filer with another state, please submit an "Other than Annual Amendment" and check the Arizona box on Item 2, SEC Registration, on Part 1A of the Form ADV. [See A.R.S. § 44-3153 and R14-6-212]

### **INVESTMENT ADVISER REPRESENTATIVE LICENSURE**

- \_\_\_1. Submit a Form U-4 filing electronically through Web CRD/IARD. [See A.R.S. § 44-3156, R14-6-210, and R14-6-212]
- \_\_\_2. Fingerprint card, if applicable. [See A.R.S. § 44-3153 and A.R.S. § 44-3156]

### **STATE LICENSURE/NOTICE FILING FEES**

- ♦ Investment Adviser .....\$250 [See A.R.S. § 44-3181]  
(Fees will be debited through the firm's IARD Daily Account)
- ♦ Investment Adviser Representative (each) .....\$ 40 [See A.R.S. § 44-3181]  
(Fees will be debited through the firm's IARD Daily Account)

#### **Mailing Address for IARD deposits**

NASD, CRD-IARD  
P. O. Box 7777-W9995  
Philadelphia, PA 19175-9995

#### **Mailing Address for Division**

Arizona Corporation Commission, Securities Division  
1300 West Washington, Third Floor  
Phoenix, AZ 85007-2996